SEC Form 4

FORM 4

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person* Sheehan Daniel J IV				Name and Ticker of VORTH FIN	ANCL	AL I	<u>NC</u> [GNW		tionship of Reporting F all applicable) Director	10% C	wner		
(Last) C/O GENWORTI	(First) H FINANCIAL, INC	(Middle) C.	05/16/2			n/Day/	(ear)	X	Officer (give title below) EVP - Chief In	Other (specify below) vestment Officer			
6620 WEST BROAD STREET				4. If Amendment, Date of Original Filed (Month/Day/Year)					6. Indivi X	6. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person			
(Street) RICHMOND	VA	23230								Form filed by More than One Re		porting Person	
(City)	(State)	(Zip)											
		Table I - No	n-Derivative S	ecurities Acq	uired,	Disp	osed of, or	Benefic	ially Ow	ned			
Date			2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)		4. Securities Acquired (A) of Disposed Of (D) (Instr. 3, 4 a			5. Amount of Securities Beneficially Owned Following Reported	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership	
					Code	v	Amount	(A) or (D)	Price	Transaction(s) (Instr. 3 and 4)		(Instr. 4)	
		Table II -	Derivative Sec	curities Acqui	red, Di	spos	sed of, or Be	eneficia	lly Owne	ed			

(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	Conversion	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	Code (In	Transaction Derivative Code (Instr. Securities		e s (A) or l of (D)			7. Title and Amount of Securities Underlying Derivative Security (Instr. 3 and 4)		8. Price of Derivative Security (Instr. 5)	9. Number of derivative Securities Beneficially Owned Following Reported	10. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	11. Nature of Indirect Beneficial Ownership (Instr. 4)
				Code	v	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares		Transaction(s) (Instr. 4)		
Restricted Stock Units	(1)	05/16/2019		Α		270,271		(2)	(2)	Class A Common Stock	270,271	\$0.00	270,271	D	

Explanation of Responses:

1. Restricted Stock Units settle in Class A Common Stock on a 1:1 basis.

2. Restricted Stock Units vest and convert to Class A Common Stock in three equal annual installments beginning on May 16, 2020.

Remarks:

/s/ David F. Kurzawa, by power of <u>05/17/2019</u> attorney

** Signature of Reporting Person Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

* If the form is filed by more than one reporting person, see Instruction 4 (b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.